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(56) Documents Cited

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WO 01/35277 A

WO 01/08031 A

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INT CL⁷ **G06F 17/00 17/30 17/60**

Online: **WPI, EPODOC, JAPIO, GOOGLE**

(54) Abstract Title

Online invention disclosure system and docket system

(57) A method of forming an online disclosure comprising entering information including a first inventor identification information into a web-based invention disclosure system, storing the information in an invention disclosure database, prompting the approval of the first inventor 110 and thereafter assigning a docket number 128 to said invention disclosure. The step of assigning may comprise linking a docketing system and the invention disclosure system. Predetermined information from the docket system such as title, inventor name and classification may be linked to the invention disclosure system. In forming the disclosure a classification code may be entered and in response to this code a docket attorney or patent evaluator 136 may be assigned to the disclosure. The inventor may be notified of a docket event such as date closed, an evaluation ranking, a filing decision or the receipt of an office action. Also disclosed is an invention disclosure system comprising a user computer, a server, a disclosure database coupled to the server and a docket database coupled to the server where the server provides user screens so the user can provide disclosure information to the server whereby on receipt of the information storing the information in the invention disclosure database. The inventor is then prompted for approval and a docket number is assigned from the docket database 128.

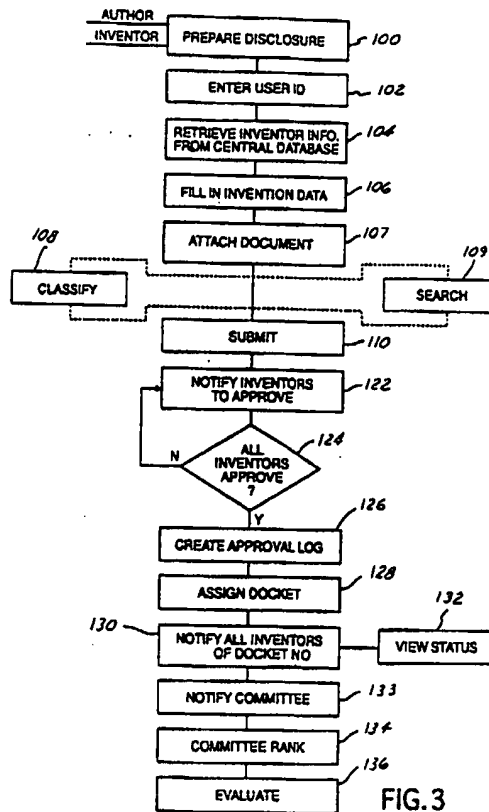
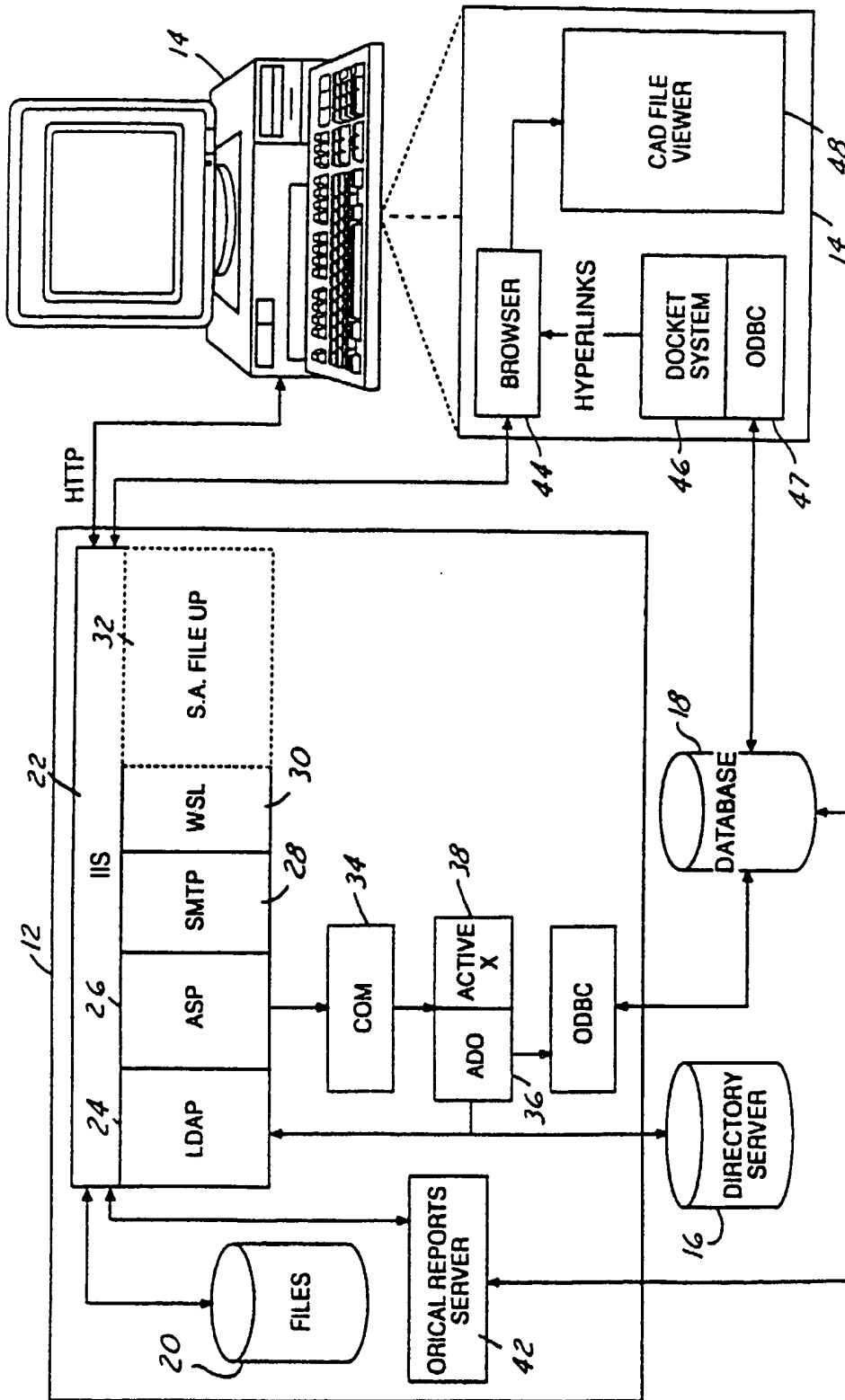


FIG. 3

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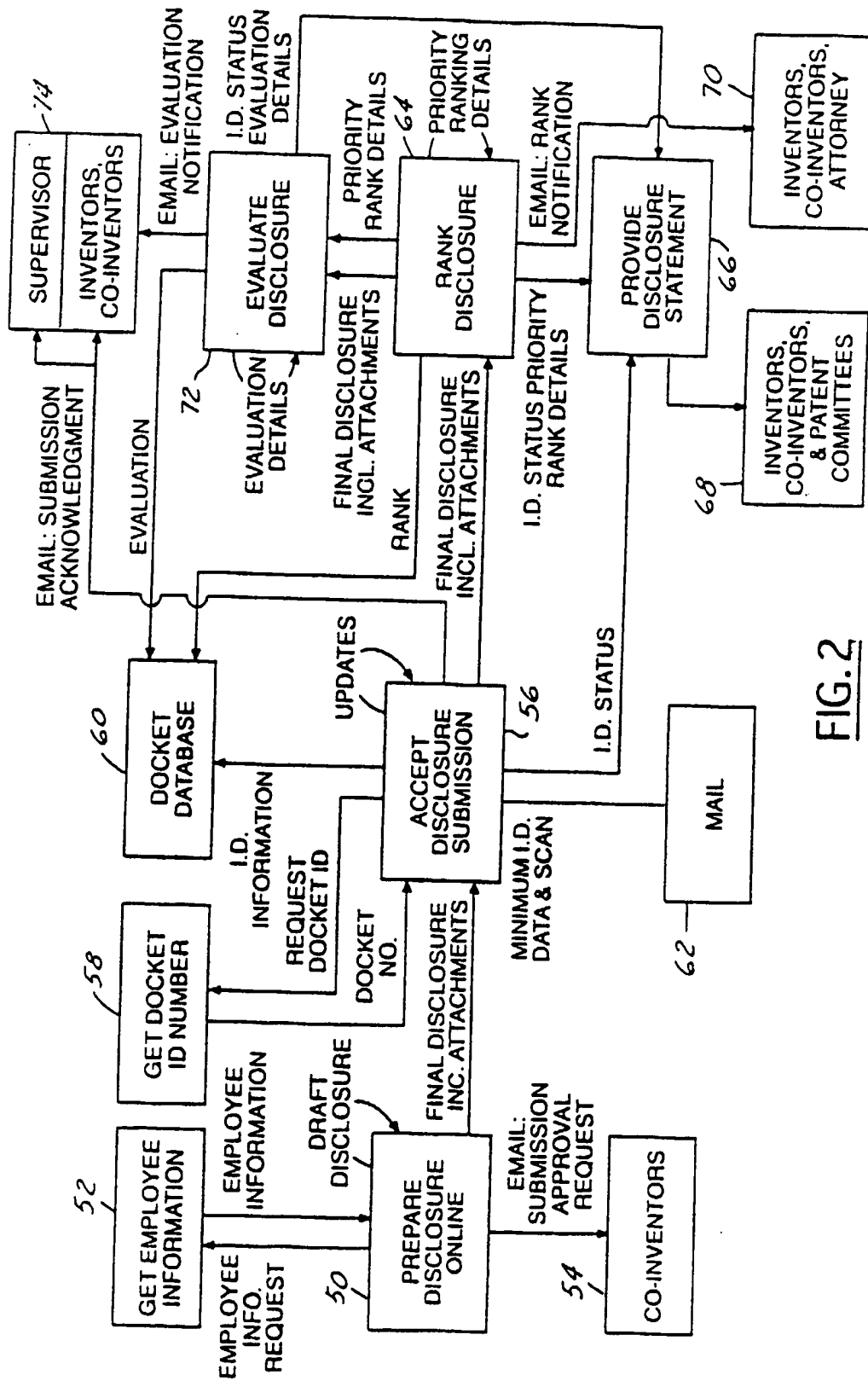
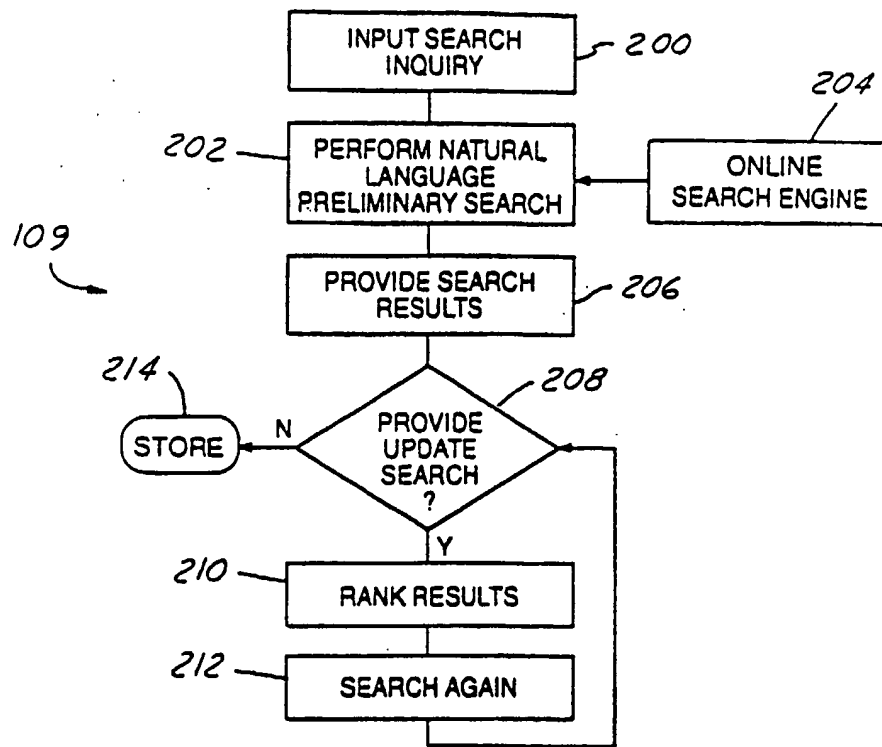
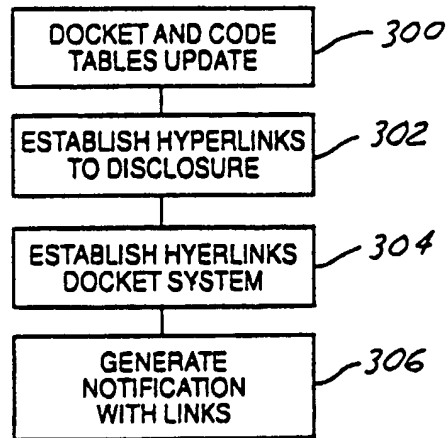
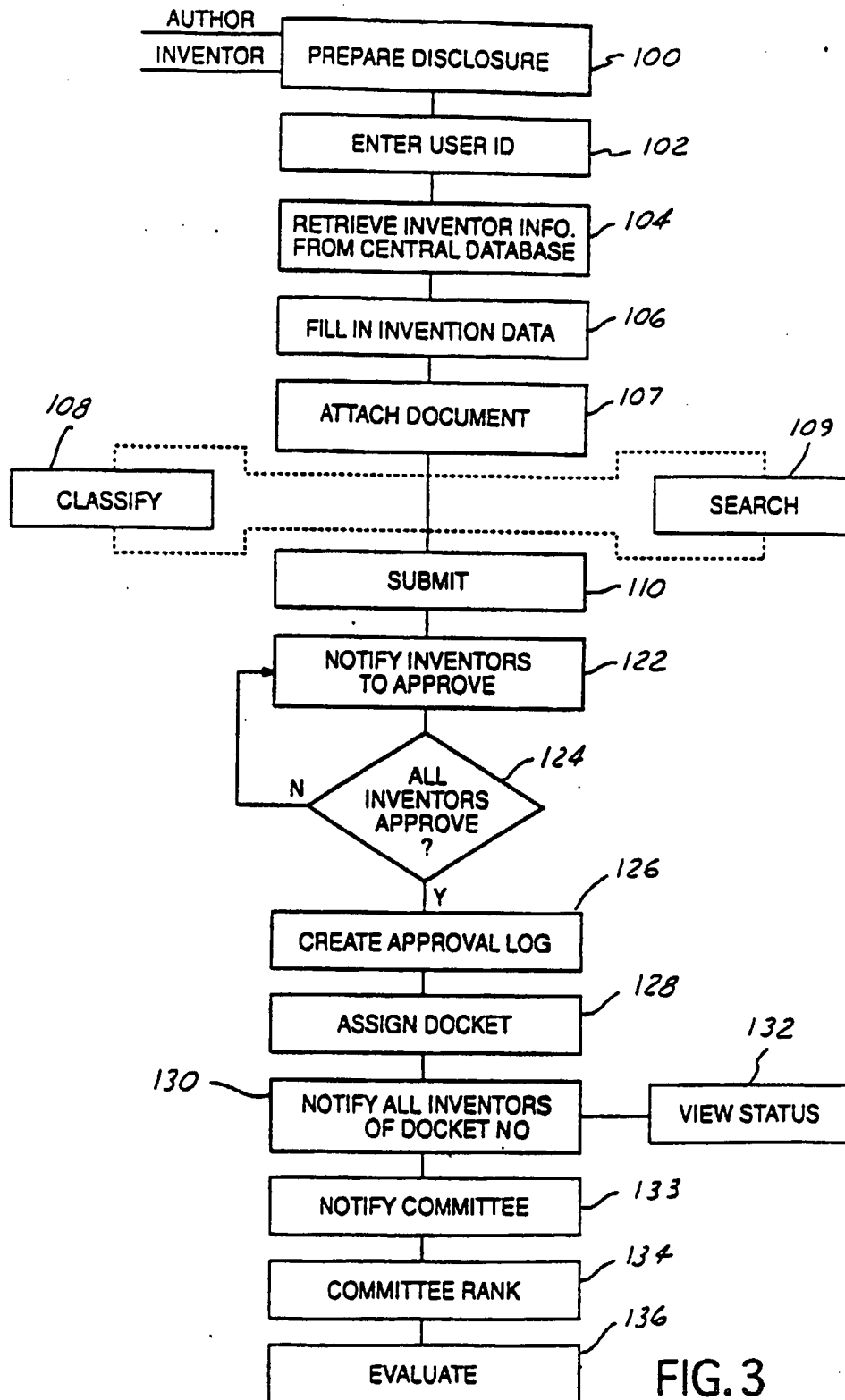


FIG. 2

FIG. 4FIG. 5

**FIG. 3**

ON-LINE INVENTION DISCLOSURE
SYSTEM AND DOCKET SYSTEM

The present invention relates to an improved data
5 processing system, and more particularly, to an on-line
invention disclosure submission system.

In many companies, paper submission of forms such as
invention disclosures are routinely used. Commonly these
paper disclosures are mailed to a central location where
10 they are logged into a system and provided to a patent
coordinator or the corporate attorney. In large companies
having several offices, these invention disclosures are
mailed to the patent department or the patent coordinator.
The paper systems are burdensome on staff and the disclosure
15 documents may be subject to loss, misplacement or a
misrouting error.

Therefore, there is a need to provide a substantially
automated invention disclosure submissions process. Various
aspects of such a process may be found in U.S. Patents
20 5,247,661, 5,276,869, 5,317,683, and 5,377,355. These
patents all describe various aspects of a data processing
system. One drawback to this system described in these
patents is that it is an electronic mail (E-mail) based
system. Documents are transmitted back and forth between
25 various locations. The system requires client software on
individual user machines. This is particularly cumbersome
in a large corporate environment having multiple locations
in multiple countries. The drawback being that as migration
to new updated software packages is performed, the users in
30 all locations may not have the proper software to access the
system. Therefore, certain disclosures may not ever be made
due to the inconvenience. The prior patents also describe
that the documents are transmitted to each user's machine
for processing. Such a system, however, requires high
35 bandwidth to support the exchange of documents from the
central location to the user. Such a system, particularly
in large corporations, is impractical since large bandwidth

allocations for such a system are not desirable ways to use system resources.

It would therefore be desirable to provide an on-line invention disclosure system that does not require high
5 bandwidth for each user to have special software.

Corporate patent departments also typically maintain a docketing system. The docketing system keeps track of the disclosures as they are processed by the patent department. The docketing system maintains the status of disclosures for
10 the patent attorneys and patent coordinators and of any patent applications originating therefrom. Various due dates of the docket system are also tracked. Typically, inventors must call the patent department to determine the status of their invention disclosure because the docket
15 system is inaccessible to them. This process is also time consuming for staff. It would therefore be desirable to provide a system capable of automatically notifying and/or allowing inventors to access some or all of the information in a corporate docketing system so that the status may be
20 readily determined by the inventors.

Typically, invention disclosures are searched prior to preparing a patent application therefrom. Commonly, the disclosures are read and a computer or manual search is performed sometime after the disclosure is submitted. Also,
25 the inventors typically have little input to the process. It would also be desirable to perform a search during the invention disclosure submission process. Consequently, it would also be desirable to allow the inventor to participate or help direct the search.

In paper type systems and in the systems above, one inventor is responsible for preparing the invention disclosure document. It is presumed that concurrence has been achieved between the author of the invention disclosure and the other inventors. Oftentimes this is not achieved
35 and the invention disclosure is processed according to company policies without concurrence. It would therefore be desirable to provide an automated invention disclosure

system that does not allow the disclosure to be processed until concurrence has been reached by each of the inventors.

It is therefore one object of the invention to provide an automated invention disclosure system that overcomes the
5 drawbacks of prior known systems. The present invention provides a web based on-line invention disclosure system that may, for example, be used in cooperation with a corporate intranet.

In one aspect of the invention an on-line invention
10 disclosure system includes an on-line invention disclosure system includes a user computer, a server and a database coupled to the server. The server provides user screens to the user to prompt the users to provide disclosure information to the server. The server receives the
15 disclosure information from the users and stores the information in the database while allowing access to the database after storing the information on the database. The server prompts the first inventor to provide an approval and upon approval assigns a docket number from a docket number
20 database.

In a further aspect of the invention, a method for forming an invention disclosure online by entering a plurality of selected information including a first inventor identification information into a web-based invention
25 disclosure system;

as the plurality of selected information is entered, storing the information in an invention disclosure database; prompting approval of said first inventor; and thereafter, assigning a docket number to said invention
30 disclosure.

One advantage of the invention is that the system is platform independent. That is, PC, Mac or UNIX based terminals may all access the web based on-line disclosure system. Another advantage of the present invention is that
35 the document resides in one location and may be "viewed" by the inventors, the corporate patent staff, and evaluation

committee members. The document itself does not actually get transferred as in the E-mail based systems.

Another advantage of the invention is that inventors may access predetermined information from an on-line docketing system. Also, the docketing system may obtain invention information from the on-line docket system.

Another advantage of the invention is that evaluation committee members may automatically receive notices that invention disclosures are ready to be evaluated.

Other objects and features of the present invention will become apparent when viewed in light of the detailed description of the preferred embodiment when taken in conjunction with the attached drawings and appended claims.

The invention will now be described further, by way of example, with reference to the accompanying drawings, in which:

Figure 1 is a high level block diagram of a disclosure system according to the present invention.

Figure 2 is a functional flow chart of a disclosure system according to the present invention.

Figure 3 is a flow chart of the operation of a disclosure system according to the present invention.

Figure 4 is a flow chart of a search process according to the present invention.

Figure 5 is a flow chart of a docket system according to the present invention.

In the following figures the same reference numerals will be used to identify the same components in the various views. Various examples and parameters are set forth in the following description. These are meant to be by way of example and not meant to limit the scope of the invention. The following example describes an on-line invention disclosing systems may utilize the same principles and concepts such as authoring technical and other papers.

Referring now to Figure 1, an on-line invention disclosure system 10 is illustrated. On-line disclosure system 10 is a web based system having a web server 12 that is coupled to a plurality of users, one of which is shown as
5 user computer 14. The web server 12 as will be further described below may be coupled to a directory server 16 containing user information and to a database system 18. Database 18 may contain both docketing information and disclosure information. Although illustrated as one,
10 database 18 may be comprised of two or more databases that are linked together. Various tables are established in database 18 and some of the information located in the docket tables may be linked with the disclosure tables as will be further described below.

15 Web server 12 has a file memory 20 that stores various files therein. Memory 20 is coupled to the Internet Information Server (IIS) 22. IIS 22 controls the operation of the system. IIS 22, for example, may have a lightweight directory access process (LDAP) 24, active server pages
20 (ASP) 26, send mail transfer protocol (SMTP) 28, web single login (WSL) 30, and SAFile-up 32.

LDAP 24 is a protocol for accessing directory server 16. The LDAP 24 permits the retrieval of various user information from the directory server such as the employee's
25 location, phone numbers, etc. in response to the entry of identification information. ASP 26 provides the scripts for the various pages that are viewed by the user. The scripts also control how the information is retrieved from the database 18 and how information is stored therein. Various
30 scripts may be used for various situations in various companies. Preferably, the scripts prompt the user for a complete disclosure that may include a brief summary of the problem solved and a description of the present solution and how it solves the problem. Of course, numerous other
35 categories of information may be prompted.

SMTP 18 provides the formatting for the company specific E-mail system. Various types of E-mail formatting

would be evident to those skilled in the art. WSL 30 provides an identification subsystem whereby identification information such as the user's corporate ID and password are authenticated. A password may be established for each disclosure during the initial entry into the system. Thereafter, the password may be used to view the disclosure and view the status thereof. SAFile-up 32 is a software package provided by software artisans that allows the user's PC to couple various documents to the invention disclosure. LDAP 24 is coupled to directory server 16.

ASP 26 is coupled to COM 34. COM 34 are the objects run on server 12. COM 34 is coupled to ADO 36 which is coupled to Active X 38. ADO 36 and Active X are known types of object formatting that allow the information to be displayed in a convenient format. ADO 36 is coupled to ODBC 40, a known type of database driver. ODBC 40 is coupled to docket system 18.

IIS 22 may also be coupled to a report server 42. Report server 42 may be coupled to docket system 18. Report server 42 provides printable reports to the various system users.

IIS 22 may also be coupled to user computer 14 that has a browser 44, a docket system program 46 that is coupled through an ODBC 47 to docket system 18. Browser 44 may be one of the many types of web browsers currently available that is capable of communicating through the common http protocol. The patent staff and patent coordinators may be the only users with direct access to the docket database through docket system program 46 and ODBC 47. Typical users may obtain selected docket information from the docket system through server 12 as will be described below. Browser 44 may also be coupled to file viewers such as a CAD file viewer 48. Some computer aided design (CAD) systems may require an interface to operate with a web browser. CAD file viewer 48 may be one of such systems typically employed on these types of machines. Generally, as will be further described below, the web server 12 retains the various

documents while user computers 14 may view selected portions of the document without having to transmit the document back and forth between various users.

Referring now to Figure 2, a block diagram of the process of the present invention is illustrated. As is described below, a user may be an inventor or just an author that enters the information in to the disclosure system 10. User and inventor are used interchangeably because in most circumstances the user is an inventor but need not be. The author system allows company personnel to enter inventions by non-company personnel in the system. In block 50, the disclosure is prepared on-line. Passwords or other security measures may be employed through the identification subsystem before access to the system may be gained. Preferably, a corporate directory service or other directory information may be used to assist the user in filling out the disclosure. For example, a get employee information block 52 may be coupled to the prepare disclosure on line block 50 to provide the user information at the user's request in response to some identification information such as an E-mail ID, an employee number or the like. This employee user information thus becomes associated with the particular disclosure being prepared. Block 50 may also allow the user to identify other co-inventors and request approval from co-inventors in block 54. The co-inventors of block 54 are preferably notified via an E-mail that the author has prepared an invention disclosure listing them as a co-inventor and that they should either assist in drafting the disclosure or approve the final draft. For convenience, the e-mail notification may include a hyperlink so that the disclosure and a connection with the server may be obtained. In block 50, the inventor may be asked to fill in predetermined disclosure information such as a brief description or comments, comment on prior art, give a brief description on the new technology provided by the invention, various invention dates, provide classification information such as company classification codes, and miscellaneous

other invention information such as whether a government contract was used or if the invention was disclosed to non-company personnel. The prepare disclosure on-line block 50 may also inquire whether other documents exist so that they
5 may be attached to the disclosure as file attachments. The file attachments may be word processing documents, CAD files, presentation documents or various other types of documents.

When approval has been obtained from each co-inventor,
10 the accept disclosure submission block 56 locks the document so no further changes can be made and obtains a docket ID number from a docketing system 58. The disclosure system makes the request and the docket system provides the next available docket number. The docket system in block 60 may
15 also be linked to provide various other information from the on-line invention disclosure system 10.

In addition to accepting disclosures through an on-line system 56, provisions may also be made for accepting mail-in disclosures as was traditionally done. In this manner, the
20 disclosures may be scanned into the system by the patent staff but are received from mail block 62.

Once the disclosure information has been finalized and accepted, block 64 may be performed wherein the disclosures may be ranked. An evaluator may receive an E-mail notice
25 that a disclosure is available in his technology area. The disclosures may be ranked by a patent committee that looks at the priority ranking criteria and evaluates the disclosure accordingly. These details may vary depending on the company. The evaluation may be provided to the docket
30 database in block 60.

Once ranked, the inventors may view the ranking in block 66. By logging on to the system through a web browser or other method, the inventors may monitor the invention disclosure through the process. Various inventors, co-
35 inventors and patent committees in block 68 may be provided various information on the status of the disclosure. This may be done automatically as standardized letters generated

by the server 12 or through an E-mail with a hyperlink to the disclosure or the status information. The ranking of the disclosure may also be provided to inventors, co-inventors, and the attorneys responsible in block 70.

5 After ranking, the responsible attorney may evaluate the invention disclosure in block 72 for patentability. Block 72 is coupled to block 66 so that the disclosure evaluation status may also be provided to inventors, co-inventors and patent committees in block 68. The evaluation
10 of the disclosure may also be provided to the docket database 60. The evaluation of the disclosure in block 72 and the disclosure submission 56 may be provided to a supervisor, inventor or co-inventor by way of E-mail in block 74. The E-mails preferably contain hyperlinks so that
15 the invention may be easily viewed by clicking on the hyperlink. Further details of the system are described further below.

Referring now to Figure 3, the invention disclosure is prepared on-line in step 100. An author or inventor may
20 prepare the invention disclosure. Preferably, the author or inventor or both obtain access through a corporate Intranet or the Internet. In step 102, the user enters identification information (ID) for the system. This may also consist of a password or other security if this is a
25 subsequent access to the system. The following, however, is based upon an initial submission of an invention disclosure. In step 104, the information may be received from a central database or directory server maintained by the company. Various invention data is filled into the disclosure in step
30 106. As described above, the invention data is preferably as detailed information as the inventor may provide. The invention data may be prompted from the on-line disclosure system through a series of direct questions and answers, or the user may be directed to various segments where broad
35 questions are answered and the inventor may expound, or a combination of both. In step 107, if any documents such as prints, flow charts, CAD files or other information would be

helpful to the preparation of a patent application from the disclosure, the documents may be attached so that they are stored in the system with the disclosure.

Optional steps 108 and 109 may also be performed. Step
5 108 classifies invention disclosure based on the information filled therein. Step 108 is further described below. In step 109, a search may be prompted using the various information from the system. The search may also interact with the inventor to determine whether the search is finding
10 appropriate information. The search step 109 also is further described below.

In step 110, the invention disclosure is submitted as a draft by the author. This draft submission is an approval by the author/inventor. In step 122, the other inventors
15 are notified to approve the invention disclosure. As mentioned above, the notification may be an E-mail with a hyperlink to the disclosure on the on-line system in a web based manner. In step 124, if all inventors do not approve the disclosure then step 122 is executed again. If other
20 inventors change the invention disclosure then approval for the changed draft should be obtained from all other inventors including the authoring inventor. When all the inventors approve the document, the document is locked to prevent further changes. Preferably, an approval log
25 becomes associated with the invention disclosure once all the inventors approve the invention disclosure in step 126. The approval log will demonstrate that each inventor reviewed and approved the same final version of the disclosure. Approval in step 124 may also entail a variety
30 of other functions including agreeing to an associated document such as an assignment of the invention, a power of attorney or other bookkeeping functions.

After approval, the disclosure becomes permanently and unchangeably (locked) part of the system by receiving a
35 docket number assigned in step 128 so that tracking may be provided. The docket number is obtained from the docket system. In step 130, all inventors are notified of the

docket number. The inventors may view the status in step 132 of the invention. Preferably, notification takes place by way of E-mail and may have a predetermined letter with a hyperlink therein. The hyperlink may be used to provide
5 quick access to the system through the corporate Intranet or the Internet.

In step 133, an invention ranking committee or committees are notified to rank the invention disclosure. If a number of committees are used, the proper committee may
10 be assigned by the corporate classification code entered by the inventor/author. The committee ranks the disclosure in step 134. The system may also set an evaluation meeting of various committee members to rank the disclosure. To view the disclosure the committee members may click on a
15 hyperlink from an E-mail or otherwise access the invention disclosure system. A ranking sheet or screen with various ranking criteria may become associated with the disclosure. The committee ranking may be provided to the inventors through notification such as an E-mail or the disclosure may
20 be accessed by the inventors from a previous notification.

In step 136, the invention disclosure may be automatically assigned to a member of the patent staff for evaluation based upon the corporate classification code. At all times the patent staff, the inventors and committee
25 members preferably may access the system to obtain information as to the status of the system.

Referring now to Figure 4, step 109 is illustrated in further detail. In step 109, an optional search function may be included with the on-line invention disclosure
30 system. The search is provided to give evaluators the state of the art to assist in their evaluation. A search inquiry is formulated in step 200. The search inquiry may be manually entered or search terms may be derived from the disclosure itself. Boolean searching may be performed.
35 Preferably, natural language searching may be performed from using selected sections of the invention disclosure that may include a detailed description section or the

problem/solution section. Also, the user may be prompted to enter search terms to be used in addition to the disclosure information. Various types of natural searching language engines may be used. Typically, these natural language
5 search engines rank the various terms of the search inquiries such as the portions of the invention disclosure and perform a search through various on-line search engines from various search vendors through a natural language search as shown in step 202. On-line search engines 204
10 provide the results of the search to the user. This preferably is a required step although the on-line disclosure system may make this step optional. The on-line search engine may include, for example, interfacing with the patent office website, or various other commercial searching
15 websites known to those skilled in the art. Many corporations subscribe to a commercial search service vendor. In step 204, the results of the search are provided to the inventor. The results may, for example, provide the top ten results from the search. In step 208, the inventor
20 may be prompted to provide a narrower search. In step 208 the search may be refined using the various terms received from the documents of the first search or previous searches and the search terms from the disclosure document. For example, various documents can be selected as being on point
25 and the wording from these documents may be weighted in addition to the prior search in step 210. Other documents that are not relevant may receive a negative weighting so that similar documents do not appear on the list of most relevant documents. The invention disclosure information
30 may then be repeatedly searched again in step 212 in view of the revised terms. Referring back to step 208, after the search has been sufficiently refined, the results are stored together with the disclosure in step 214.

Referring now to Figure 5, the invention disclosure
35 system may also be coupled to an on-line docket system. Various information may be shared between the docket system and the on-line invention disclosure system. For example,

common information such as a date stamp may be provided as well as other information not limited to the title, the classification code, inventor name, an inventor acknowledgement and an assignment. This information may be
5 provided to the docketing system in step 300. Upon approval, for example, the docketing system may provide a docket number to the disclosure system as mentioned above. In step 302, hyperlinks may be established to the disclosure for use by the various committees, the patent staff
10 evaluator, and the inventors. This hyperlink may also require the establishment of a password to enter the system and access the particular disclosure. Preferably, each inventor only has access to their own disclosures. Patent committee members preferably have access to all disclosures
15 that have been submitted by the various inventors whose area of technology (corporate classification code) is within that of the particular committee. Hyperlinks may be established to the docket system in step 304. Various notifications may be provided to the inventors and the patent committee
20 members through E-mails or otherwise with various hyperlinks to the sites in step 306.

CLAIMS

1. A method of forming an online invention disclosure comprising:

- 5 forming an invention disclosure online by entering a plurality of selected information including a first inventor identification information into a web-based invention disclosure system;
 as the plurality of selected information is entered,
10 storing the information in an invention disclosure database;
 prompting approval of said first inventor; and
 thereafter, assigning a docket number to said invention disclosure.

- 15 2. A method as claimed in claim 1, wherein the step of assigning comprises linking a docket system and the invention disclosure system.

3. A method as claimed in claim 1, further comprising
20 the step of linking predetermined information from said docket system to said invention disclosure system.

4. A method as claimed in claim 3, wherein said predetermined information is selected from the group
25 consisting of title, inventor name and a classification code.

5. A method as claimed in claim 1, wherein said step of forming comprises entering a classification code.

30

6. A method as in claim 1, further comprising the step of assigning a docket attorney to the disclosure in response to said classification code.

- 35 7. A method as in claim 6, further comprising the step of assigning a patent evaluator in response to the classification code.

8. A method as in claim 1, further comprising the step of notifying the inventor of a docket event.

5 9. A method as in claim 8, wherein the docket event is selected from the group of date closed, an evaluation ranking, a filing decision, and a receipt of an Office Action.

10 10. An invention disclosure system comprising:
a user computer;
a server;
a disclosure database coupled to the server;
a docket database coupled to the server; and
15 said server providing user screens to said users whereby users provide disclosure information to said server, receiving disclosure information from said users including a first inventor identification, storing information in said database, prompting the first inventor to provide an
20 approval, upon approval assigning a docket number from said docket database.

11. A system as in claim 10, wherein said docket database is coupled to said disclosure database.

25 12. A system as in claim 10, wherein said predetermined information is linked between said docket database and said disclosure database.

30 13. A system as in claim 12, wherein said predetermined information is selected from the group consisting of title, inventor name and a classification code.



Application No: GB 0107421.0
Claims searched: 1-9

Examiner: Ben Widdows
Date of search: 28 February 2002

Patents Act 1977
Search Report under Section 17

Databases searched:

UK Patent Office collections, including GB, EP, WO & US patent specifications, in:

UK Cl (Ed.T): G4A AUDB AUXX

Int Cl (Ed.7): G06F 17/00 17/30 17/60

Other: Online: WPI, EPODOC, JAPIO
GOOGLE

Documents considered to be relevant:

Category	Identity of document and relevant passage	Relevant to claims
X	EP 0475868 A (IBM) see figs 4&5 and description	1 at least
X, E	WO 0135277 A (MINDMATTERS TECHNOLOGIES INC) see whole document	1 at least
A	WO 0108031 A (EASTMAN CHEM CO) see fig 6b and description	
A	US 6049801 A (WHITMYER) see whole document	

X Document indicating lack of novelty or inventive step
Y Document indicating lack of inventive step if combined with one or more other documents of same category.
& Member of the same patent family

A Document indicating technological background and/or state of the art.
P Document published on or after the declared priority date but before the filing date of this invention.
E Patent document published on or after, but with priority date earlier than, the filing date of this application.